

8. IMPLEMENTATION PLAN AND CASH FLOW PLAN: INSTRUCTIONS

The Implementation and Cash Flow Plan requires the applicant to project the rate of implementation and cash expenditure for every proposed project. These "milestones" will become part of the grant contract with Mass. CDBG and form the basis for the quarterly activity reports that each recipient must file as part of its contractual requirements. Communities should plan projects and programs to insure timely completion. Consider the feasibility of the proposal, and do not request funding to carry out programs that are unlikely to be finished on time. DHCD will only authorize grant extensions for unforeseen circumstances and where the information justified and can be documented and justifiable. A community's inability to complete its projects/programs within a reasonable time period can result in penalties and may adversely affect future funding opportunities.

Each application must include an Implementation and Cash Flow Plan that summarizes all of the proposed projects.

Enter the requested information for each quarter in the grant year, as shown on the form. Enter the monthly amount expended to the nearest thousand dollars (e.g. \$101K).

The quarters are identified only as "Quarter #1," "Quarter #2," and so forth. Overall, each grant "year" is a 18-month cycle broken into six quarters,. If the submitted Implementation Plan seems unrealistic or the actual grant award varies greatly from the total request made by the applicant, Mass. CDBG may ask for a revised Implementation and Cash Flow Plan as a special condition of the grant contract.

The Implementation Plan must be placed immediately following the Project Packets.

- **1 Year Implementation**

Communities must plan their applications around a 18-month implementation period. For CDF I and II applicants that will begin on or about July 1, 2004, and end no later than December 31, 2005. There is no penalty for early completion.

MASSACHUSETTS CDBG PROGRAM - IMPLEMENTATION AND CASH FLOW PLAN

PROJECT	1st Quarter			2d Quarter			3d Quarter			4th Quarter			5th Quarter			6th Quarter		
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
DEMOLITION <ul style="list-style-type: none"> • Demo out to bid • Demo contracted • Demo 50% complete • Demo completed Monthly Amount Expended																		
HOUSING PROJECTS <i>Housing Rehabilitation</i> <ul style="list-style-type: none"> • No. of applications received • No. of approved projects • No. of projects out to bid • # projects under construction • No. of completed projects Monthly Amount Expended <i>Other Housing</i> <ul style="list-style-type: none"> • Contract executed • Work 50% complete • Work completed • _____ • _____ Monthly Amount Expended COMMUNITY ECONOMIC DEVELOPMENT <i>Commercial Rehab-Signs/Facades</i> <ul style="list-style-type: none"> • No. of applications received • No. of approved projects • No. of projects out to bid • No. of projects under construction • No. of completed projects 																		

PROJECT	1st Quarter			2d Quarter			3d Quarter			4th Quarter			5th Quarter			6th Quarter		
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<i>Small Business Assistance Loans</i> <ul style="list-style-type: none"> No. of applications received No. of loans in development No. of approved loans No. of loans closed No. of completed projects Monthly Amount Expended																		
<i>Small Business Technical Assistance</i> <ul style="list-style-type: none"> No. of applications No. of direct assist Monthly Amount Expended																		
<i>Microenterprise loans</i> <ul style="list-style-type: none"> No. of applications received No. of loans in development No. of approved loans No. of loans closed <i>Microenterprise technical assistance</i> <ul style="list-style-type: none"> No. of applications No. of direct assist Monthly Amount Expended																		

PROJECT	1st Quarter			2d Quarter			3d Quarter			4th Quarter			5th Quarter			6th Quarter		
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<i>Public Facilities Infrastructure and Architectural Barriers</i> <i>Project 1:</i> Design/eng'g RFP advertised Design/eng'g award made Design/eng'g completed Construction RFP advertised Construction award made Construction 50% complete Construction completed Monthly Amount Expended <i>Project 2:</i> Design/eng'g RFP advertised Design/eng'g award made Design/eng'g completed Construction RFP advertised Construction award made Construction 50% complete Construction completed Monthly Amount Expended <i>Project 3:</i> Design/eng'g RFP advertised Design/eng'g award made Design/eng'g completed Construction RFP advertised Construction award made Construction 50% complete Construction completed Monthly Amount Expended																		

PROJECT	1st Quarter			2d Quarter			3d Quarter			4th Quarter			5th Quarter			6th Quarter		
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Public Social Services Project 1: _____ Contract Executed Income documentation reviewed Subgrantee Monitored Program 50% complete Program complete Monthly Amount Expended																		
Public Social Services Project 2: _____ Contract Executed Income documentation reviewed Subgrantee Monitored Program 50% complete Program complete Monthly Amount Expended																		
Public Social Services Project 3: _____ Contract Executed Income documentation reviewed Subgrantee Monitored Program 50% complete Program complete Monthly Amount Expended																		
Planning RFP Issued Contract executed Work 50% complete Work completed/accepted Monthly Amount Expended																		

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9. MANAGEMENT PLAN

The Grantee has overall responsibility for grant administration. All applicants must demonstrate that they currently have, or will be able to obtain, the management capacity to administer a CDBG grant. Describe the plan for grant administration, including the following:

1. In order to document this capacity, each applicant is required to describe a management plan for the administration of this grant. The plan must provide a system of checks and balances and adequate internal controls for delegation and oversight of all grant management activities. For example, an entity that receives a subgrant to deliver a service/program cannot be the same entity that provides overall grants management with the grant award.
2. Provide a grant management organizational chart which (a) identifies the relative position of the public office or official within the local government who will have primary responsibility for oversight of the Community Development Block grant; (b) indicates how the CDBG administrative structure fits into the general municipal administration.
3. If any portion of this grant is to be sub-contracted to another local agency for implementation, that agency should be identified and its relationship to the local government fully explained. If any portion of this grant is to be sub-contracted to a private firm or organization, the applicant should explain exactly what that organization will do and what its relationship will be with the local government.
4. List the staff positions assigned to grant management including project delivery.
5. Describe the responsibilities for each position listed by each project such as monitoring individual projects for timely implementation and compliance with applicable regulations, compiling and submitting grant reports, supervising personnel, initiating and obtaining approval for program and budget amendments, and processing requests for payment and ensuring that appropriate financial records are maintained.
6. Estimate the amount of time needed for each staff to perform these functions (% FTE). Demonstrate that the time allotted is sufficient given the responsibilities assigned.
7. Demonstrate that existing staff assigned these responsibilities is qualified to perform them or if the position is not filled, provide a list of qualifications needed for the person who will fill the position.
8. All staff positions must be consistent with the Program Delivery and Administrative Cost Breakdown Part A in the following section.

NOTE: Grant recipients must comply with 24 Code of Federal Regulations Part 85 which requires "maximum free and open competition" for all contractual services, and the Massachusetts General Law, Chapter 30B. Therefore, no professional or technical firms can be placed under contract until required procurement procedures have been followed. (The only exception to this rule is regional or local housing authorities, specially designated neighborhood non-profits or other organizations, as provided for by HUD regulations.)

10. PROGRAM DELIVERY AND GENERAL ADMINISTRATIVE COSTS BREAKDOWN (FORM): INSTRUCTIONS

Part A: Personnel and Fringe Benefit costs must be allocated by position and corresponding budget activity. Costs must be consistent with those described in the project packets. Refer to Appendix F for guidance.

Part B: Non-personnel costs consist of those sundry items needed in support of office overhead and program operation. Some costs have been classified as solely General Administrative costs and cannot be charged otherwise.

- 1) Membership, Publication(s), etc.: Dues for professional associations and subscriptions relating to overall information and guidelines administering a CDBG program.
- 2) Training and Education: Conferences, seminars, etc., relating to the management of the grantee's CDBG program.
- 3) Travel: Mileage, parking and tolls charged by an employee when using their own car for overall management functions, or on-site inspections of CDBG activities. This may also include travel costs for conferences and seminars.
- 4) Accounting, Disbursement Services: Those services provided by an accounting firm to create and/or maintain accounting records for the grantee's program. Check writing, payroll service costs charged by banks.
- 5) Legal Services: Attorney's fees for guidance relating directly to the grant projects.
- 6) Advertising: Publicized announcements relating to public hearings, procurement, hiring, and program outreach for a specific activity.
- 7) Reproduction/Printing: Brochures, forms, photographs, etc., needed in either the promotion or overall management of the grant.
- 8) Communications: Telephone, postal, and messenger services.
- 9) Supplies and Materials: General office supplies used in overall management of the program.
- 10) Maintenance and Repairs: Those costs that are necessary for the upkeep of property but do not add to the permanent value or prolong the intended life of the property. Administrative costs might consist of a Community Development Office, equipment maintenance/repair agreements and other general repair within the Community Development Office.
- 11) Audit: Single audits required to be performed on all federal funds at the recipient level, (excludes agency-level audits of sub-recipients) in accordance with 24 CFR Part 85. The ratio of CDBG funds expended to other federal funds expended determines the CDBG contribution to the cost of the Single Audit.

**PROGRAM DELIVERY AND GENERAL ADMINISTRATIVE COSTS BREAKDOWN (FORM)
INSTRUCTIONS** (continued):

- 12) Computers and related equipment: Lease or purchase of computer services.
NOTE: Municipalities that do not have computers available to operate the CDBG grants management/accounting software MUST budget for the purchase or lease of a IBM compatible PC, current hardware, e-mail and/or Internet access.
- 13) Equipment: Lease or purchase of general office equipment such as typewriters, desks, copies, chairs, file cabinets, etc.
- 14) Professional Services: Professional services rendered by individuals or organizations not a part of the grantee department administering the grant program.
- 15) Application Preparation: Communities who have not received a Mass. CDBG Grant in prior years may budget up to \$6,000 for CDBG funds. Otherwise, up to \$3,000 is allowed.
- 16) Other: Specify miscellaneous costs related to the grant program.

Part C: The Indirect Percent Rate charged by an administering entity (if the grantee will engage in the services of such an entity) must be in accordance with a certified Indirect Cost Allocation Plan prepared by a CPA firm. This percentage is an assessment of total indirect costs, which cannot be clearly attributable to a particular program (e.g., space, heat, utilities, maintenance are some examples). If the rate/percentage is calculated based upon agency wide direct salaries, then the percentage derived is first calculated against the total CDBG general and program administration as a whole. Then that amount is broken down further by the percentages by each administration budget within this form.

Part D: Add the sub-totals for Parts A, B, C and enter in all columns.

Part E: Calculate each column (2 through 6) in comparison to the total grant request to determine the percentage for each program delivery and general administration activity. Please note that General Administration cannot exceed 18% of the total grant request, and must be reasonable.

Supplemental Form

Grant preparers who may be submitting more than one application must attach the supplemental administrative cost breakdown. This applies to regional planning commissions, housing authorities, and non-profits agencies.

This form is in the same format for itemizing personnel, fringe, and non-personnel budgets. The applicant need only transfer the total CDBG program/general administration budget in **Column 7 of each single application to Columns 2 through 5 on the multiple application form, which indicates each City/Town application submitted.** Column 6 of this form is for other direct costs applied by the applicant/agency in support of the program. Column 7 is the sum of all applications filed plus other agency costs.

FY 2004 MASSACHUSETTS CDBG PROGRAM													
PART A: Program Delivery/General Administrative Cost Breakdown - Personnel, Fringe Benefits (For 18 month period) (This form is for a single application-see supplement for agency submitting multiple applications)													
(1)	(2)		(3)		(4)		(5)		(6)		(7)	(8)	(9)
A-COST CATEGORY	HOUSING REHAB. (4a)		ECONOMIC DEVEL. (5a)		INFRA/PUB FACILITIES (6a)		SOCIAL SERV. (8a)		GENERAL ADMIN. (9)		TOTAL CDBG FUNDS	OTHER TOWN/ AGENCY FUNDS	TOTAL 14 MONTHS COST
A1-Personnel (list each position)		%		%		%		%		%			
A2-Fringe Benefits (list for each position)													
A3- Sub-Total Personnel Costs (A1 & A2)													

FY 2004 MASSACHUSETTS CDBG PROGRAM								
PART B - Program Delivery And General Administrative Costs Breakdown - Non Personnel, Indirect Costs, Grand Total (This form is for a single application - see supplement for agencies submitting multiple applications)								
B	COST CATEGORY	HOUSING REHAB. (4a)	ECONOMIC DEVEL. (5a)	PUBLIC FACILITIES (6a)	SOCIAL SERVICES (8a)	GENERAL ADMIN (9)	TOTAL CDBG Funds	Other Funds Town/Agency
1	Membership/Publications, etc.							
2	Training & Education							
3	Travel							
4	Accounting/disbursements	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX			
5	Legal Services							
6	Advertising							
7	Reprod./Printing							
8	Communications	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX			
9	Supplies & Materials							
10	Maintenance & Repairs							
11	Audit	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX			
12	Data Processing							
13	Equipment							
14	Professional Services							
15	App. Preparation	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX			
16	Other							
Sub-total B (1-16)								
	DIRECT TOTAL (\$) A & B							
C	INDIRECT RATE ____%	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
	INDIRECT COSTS (\$)							
D	GRAND TOTAL COSTS (\$) Parts A, B, C							
E	% Share of CDBG Request							

FY 2004 MASSACHUSETTS CDBG PROGRAM
PART A: For agencies submitting multiple applications. Administrative Cost Breakdown - Personnel, Fringe Benefits
 (for agencies submitting multiple applications)

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
Part A	COST CATEGORY	City/Town CDBG Application	City/Town CDBG Application	City/Town CDBG Application	City/Town CDBG Application	Other Funds allocated by Agency	Total
A1	Personnel (list each position)						
A2	Fringe Benefits (list for each position)						
A3	Sub-total Personnel Costs (A1 & A2)						

FY 2004 MASSACHUSETTS CDBG PROGRAM							
PART B: CDBG Administrative Cost Breakdown - Non Personnel, Indirect Costs, Grand Total (for agencies submitting multiple applications)							
	(1)	(2)	(3)	(4)	(5)	(6)	(7)
B	COST CATEGORY	City/Town CDBG Application	City/Town CDBG Application	City/Town CDBG Application	City/Town CDBG Application	Other Funds allocated by Agency	Total
1	Memberships, Pub., etc.						
2	Training & Education						
3	Travel						
4	Accounting/disbursements						
5	Legal Services						
6	Advertising						
7	Reprod/Printing						
8	Communications						
9	Supplies & Materials						
10	Maintenance & Repairs						
11	Audit						
12	Computer & related equipment						
13	Equipment						
14	Professional Services						
15	App. Preparation						
16	Other						
Sub-total B (1-16)							
	DIRECT TOTAL (\$) A & B						
C	INDIRECT RATE _____%	xxxxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxx	xxxxxxxxxx
	INDIRECT COST RATE (\$)						
D	GRAND TOTAL COSTS (\$) Parts A, B, C						
E	Per Cent Share of Overall CDBG Request	N/A	N/A	N/A	N/A	N/A	N/A

11. BUDGET SUMMARY SHEET: INSTRUCTIONS

(Page 1 of 2)

The form that follows, the Budget Summary Sheet, must be included in a Massachusetts CDBG application.

Instructions. Applicants should take care to ensure that all costs listed on the Budget Summary sheet correspond to the cost summaries presented in the Project Packets. Examples have been used below to illustrate the proper uses of this form.

Program/Project/Activity: The categories listed in this column represent the major projects that an applicant is likely to undertake with CDBG funds. Those categories preceded by a numeral (i.e., 1, 2, 3,...,9) are the major components of an applicant's proposal, while those with A, B, C, ... are subsidiary activities of the same major functions. Since this is not an exhaustive list of possible projects, applicants should use "other" line(s) as may be appropriate.

Under Community Economic Development, planning-related activities (small business planning in connection with community economic development efforts; feasibility study for setting up a small business revolving loan fund, and others) should be indicated under 5(F) - Economic Development Planning or Technical Assistance.

Item 7: Other: Planning: Please indicate here if a planning activity is proposed which is not anticipated to lead to construction. Planning activities here include strategic community planning; and those that do not fall under the category Community Economic Development.

CDBG Funds: Under this column, list the individual costs of each activity to be undertaken. Since the "numbered" line items represent the major categories, the total amount requested for that component area should be listed on that line, with subsidiary costs following as necessary.

Example: If an applicant is seeking \$200,000 in CDBG funds to undertake a housing rehabilitation project made up of rehabilitation grants and loans, the following would apply for this particular column:

(4)	HOUSING REHABILITATION	\$200,000
(4)(A)	Program Delivery	18,000
(4)(C)	Rehabilitation - Loans & Grants	182,000

Other Funds: Under this column, the total amount of all other public and private resources that are being leveraged by CDBG money, or used in conjunction with this grant to complete a particular project should be listed here. Any other CDBG funds outside of the current request (such as program income from a previous grant) should be listed in this column as well.

Example: If a bank is willing to commit \$100,000 of its own funds to match the rehabilitation loans being made above as part of the CDBG project, the following would be appropriate for this column:

(4) Housing Rehabilitation \$100,000

(4)(C) Rehabilitation - Loans & Grants \$100,000

In those instances where more than one funding source makes up the commitment of "Other Funds" listed for a particular line item, the total amount should be listed on the appropriate line. All sources should be individually cited within the project packets.

Total Program Costs: For each column ("CDBG Funds," "Other Funds" the total costs of each of the major program components (i.e. 1, 2, 3, ...) should be summed and listed here.

Item 7: Other: Planning: Please indicate here if a planning activity is proposed which is not anticipated to lead to construction. Planning activities here include strategic community planning; and those that do not fall under the category Community Economic Development.

MASSACHUSETTS CDBG PROGRAM
Budget Summary Sheet - FY 2004

PROGRAM/PROJECT/ACTIVITY		CDBG FUNDS (\$)	OTHER FUNDS
1	PROPERTY ACQUISITION		
2	CLEARANCE/DEMOLITION		
3	RELOCATION (Permanent)		
4	HOUSING REHABILITATION		
A	Program Delivery		
B	Unit Development/Creation		
C	Rehabilitation Loans/Grants		
D	Other		
5	COMMUNITY ECONOMIC DEVELOPMENT		
A	Program Delivery		
B	Acquisition		
C	Commercial Improvements (Signs/Facades)		
D	Assist. to For-profits (formally Sm. Business Assist.)		
E	Infrastructure or Streetscape Improvements		
F	Planning		
M	Other		
N	Microenterprise Assistance		
6	PUBLIC FACILITIES/INFRASTRUCTURE		
A	Program Delivery		
B	Streets and Sidewalks		
C	Parks and Recreation		
D	Neighborhood Facilities		
E	Parking		
F	Water		
G	Sewer		
H	Drainage		
I	Architectural Barriers		
J	Other		
7	OTHER/PLANNING		
8	PUBLIC SOCIAL SERVICES		
A	Program Delivery		
B	Program Costs		
9	GENERAL ADMINISTRATION		
	TOTAL PROGRAM COSTS		

12. CHIEF FINANCIAL OFFICER'S CERTIFICATION:

The Chief Financial Officer of the city/town must review the grant budget and determine whether it includes all costs that must be accounted for, given municipal budget procedures that apply to other, non-CDBG funded departments and operations. This certification must be signed and placed immediately following the Budget Summary Sheet. The Chief Financial Officer is usually the city auditor/town accountant, treasurer or director of finance.

MASSACHUSETTS CDBG PROGRAM FY 2004
CHIEF FINANCIAL OFFICER CERTIFICATION

Budget Summary/Administrative Cost Breakdown:

This is to certify that the Budget Summary and Administrative Cost Breakdown forms included in the City/Town of _____'s application to the Massachusetts CDBG Program have been reviewed and determined to be a fair and accurate accounting of allowable and reasonable costs.

The costs identified compare consistently with those described for each requested program activity identified in this application.

By: Chief Financial Officer

City/Town of: _____

Signature: _____

Name: _____ Title: _____

Date: _____

13. DISPLACEMENT OF NON-CDBG FUNDS CERTIFICATION:

The Chief Elected Officer of the city/town must certify that CDBG funds are not used to displace non-CDBG funds under the control of the municipality.

**MASSACHUSETTS CDBG PROGRAM FY 2004
CDBG FUNDING DISPLACEMENT CERTIFICAION**

This is to certify that CDBG funds shall not be used to displace non-CDBG funds under the control of the Municipality:

By: Chief Elected Official

City/Town of: _____

Signature: _____

Name: _____ Title: _____

Date: _____

14. ANTI-DISPLACEMENT AND RELOCATION CERTIFICATION: INSTRUCTIONS

All applicants must complete and submit the following form to certify that the community (lead) will be in compliance with the requirements of the Section 104(d) of Title I, Housing and Community Development Act of 1974, as amended.

The applicant community, based on its Relocation Plan, must certify that they (and co-applicants, when applicable) will comply with the requirements of Title I.

1. This certification is based on the Relocation Plan established by the applicant or leads community and obligates all participants to comply with the requirements of the Uniform Relocation Act and Section 104(d) of Title I of the Housing and Community Development Act of 1974, as amended.
2. This certification form may be signed by the Community Development or the Planning Director, or by the Administrative Assistant, or Executive Secretary to the Chief Elected Official, or the Chief Elected Official of the lead municipality.

**MASSACHUSETTS FY 2004 CDBG PROGRAM
ANTI-DISPLACEMENT AND RELOCATION ASSISTANCE CERTIFICATION
(Under Section 104(d) of the HUD Act of 1974, as amended)**

The Town/City of _____ will replace all occupiable and vacant (for at least 3 months) low-moderate income dwelling units demolished or converted to a use other than as low-moderate income dwelling units as a direct result of activities assisted with funds provided under the Housing and Community Development Act of 1974, as amended, described in 24 CFR 570.496(a) and (b)(1).

All replacement housing will be provided within three (3) years of the commencement of the demolition or rehabilitation related to conversion. Before obligating or expending funds that will directly result in such demolition or conversion, the town/city of _____ will make public and submit to the DHCD, if requested, the following information, in writing:

1. A description of the proposed CDBG-assisted activity.
2. The general location on a map and approximate number of dwelling units by size (number of bedrooms) that will be demolished or converted to a use other than as low-moderate income dwelling units as a direct result of the CDBG-assisted activities.
3. A time schedule for the commencement and completion of the demolition or conversion.
4. The general location, on a map, and approximate number of dwelling units, by size (number of bedrooms), that will be provided as replacement dwelling units.
5. The source of funding and a time schedule for the provision of replacement dwelling units.
6. The basis for concluding that each replacement dwelling unit will remain a low-moderate income dwelling unit for, at least, ten (10) years from the date of the initial occupancy.

The Town/City of _____ will provide relocation assistance, as described in 24 CFR 570.496 (a)(b) to each low-moderate income household displaced by demolition of housing or by the conversion of a low-moderate income dwelling unit to another use as a direct result of CDBG-assisted activities. Consistent with the goals and objectives of activities assisted under the Act, the Town/City of _____ will take steps to minimize displacement of persons from their homes.

Signature

Name

15. ANTI-DISPLACEMENT AND RELOCATION PLAN SUMMARY: INSTRUCTIONS

Every recipient of CDBG funds must maintain and enforce an anti-displacement and relocation assistance plan that (a) describes how the design and implementation of its activities will minimize displacement and (b) identifies benefits to be provided in case of relocation, both permanent and temporary. The plan must encompass requirements of the Uniform Relocation Act and Section 104(d) of Title I, Housing and Community Development Act of 1974, as amended.

The applicant must develop a relocation plan that includes provisions for relocation protection, payments and other assistance for any CDBG-assisted activity that will temporarily or permanently displace low and moderate-income persons or businesses. The following form requests a *summary* of the information that should be included in the Relocation Plan. The community's actual plan must be maintained on file throughout the life of the grant.

- I. Identify the officer (name or position) who will be responsible for the task of overseeing compliance with relocation assistance. Indicate also the number where he/she can be reached.
- II. Check off the activity that will result in relocation or displacement. If not indicated here, please describe the activity.
- III. Indicate the type(s) of relocation assistance to be provided. Assistance is required under both Title I of the Housing and Community Development Act and the Uniform Relocation Act and is an eligible CDBG expense. The plan must identify the activity, which may cause the displacement, the number of individuals or businesses to be affected; the likely cause of these actions; and the timing of such actions.
- IV. Indicate whether permanent displacement is anticipated for any of the proposed activities. It is DHCD policy to discourage projects that will cause the permanent displacement of persons, regardless of income. This is why it is important to explain what steps the community will take to minimize displacement during the implementation of proposed activities.
- V. Describe the grievance procedure to be followed relative to relocation and displacement. Communities should include the procedures they will follow when removing lead paint and asbestos. The Massachusetts law on lead paint removal requires temporary displacement of occupants during the abatement process.
- VI. When undertaking housing and economic development activities, the requirements of Section 104(d) of Title I (i.e., for one-for-one replacement unit and relocation assistance discussed above) apply and replacement unit(s) must be:

The Anti-Displacement and Relocation Plan Summary must be placed immediately after the Anti-Displacement and Relocation Certification.

**Federal FY 2004 Massachusetts Community Development Block Grant Programs
ANTI-DISPLACEMENT
AND RELOCATION ASSISTANCE PLAN**

Each grantee must submit a residential and business relocation assistance plan including provisions for relocation protection, payments, and other assistance. The plan should take into consideration: the types of CDBG-funded activities that will/may lead to displacement, the availability and location of vacant replacement/temporary housing or business units, the special needs of displaced occupants (e.g., children, elderly handicapped, and etc.), and an evaluation of the local resources available to carry out timely and orderly relocation activities.

1. Relocation Officer _____ Telephone # _____

2. FY 2002 activities that will/may result in temporary displacement:

Property Rehabilitation	_____
Lead Paint Removal	_____
Asbestos Removal	_____
Other (explain)	_____

3. Types of relocation assistance offered (housing, meals, transportation, etc.), sources (Community Development Block Grant, landlord, in-lieu of rent, allowance, etc.) and methods of payment (reimbursement, advance, direct payment to provider, etc. (attach separate sheet if necessary):

4. Do you anticipate any permanent displacement? If yes, please explain below:

Anti-Displacement Relocation Assistance Plan (continued)

5. What is your grievance procedure?

6. Procedures to be followed when removing lead paint and asbestos:

16. PUBLIC HEARING DOCUMENTATION: INSTRUCTIONS

Applicants are required to hold at least *two* formal public hearings *during a CDBG grant cycle*. At least *one must be held before submitting an application* for CDBG funds. DHCD encourages but does not require applicants to hold more than one public hearing during the application process.

1. Public hearings should be held at least two (2) weeks prior to the submittal of the application.
2. Advance notice must be sufficient to reasonably allow for attendance.

Notices should include:

- a. Identify the public body that is to hold the hearing;
 - b. Identify the project area(s) and proposed activities;
 - c. Identify the agency that is to undertake the project(s);
 - d. Identify the date, time, and place of the hearing; and,
 - e. State that any person or organization wishing to be heard will be afforded an opportunity to be heard.
3. Public notification can include the following: newspaper articles notices; public service spots on radio or cable television; brochures/flyers at various location; bulletin boards, and legal advertisements.
4. Public Notice Documentation: Describe and attach a copy of the notices, articles, etc., which informed the public of hearing.
5. Minutes: Attach a copy of the minutes of any hearings. Minutes must include presentations and concerns raised or comments made by those in attendance, and a list of persons who attended the hearing.
6. If this FY 2004 application proposes to continue a previously funded CDBG project/program, please attach a copy of the minutes from the public hearing that includes citizens' views on the outcomes and the effectiveness of the CDBG project/program and ways of improving these projects/programs.

**Federal FY 2004 Massachusetts CDBG Grant Programs
PUBLIC HEARING DOCUMENTATION**

PUBLIC HEARING INFORMATION:

Date/Time Held: _____

Number of Attendees: _____

Location: _____

Hearing Officer: _____

Hearing Outreach:
(List all sources) _____

Dates published: _____

How Published? _____

HEARING NOTICE AND MINUTES DOCUMENTATION:

Attach a copy of the public hearing notice as it appeared in the newspaper(s) listed above, or a copy of the notice as was posted in the appropriate public buildings. In addition, you must attach a copy of the minutes from the public hearing.

17. CITIZEN PARTICIPATION PLAN (NARRATIVE)

To comply with Title I, grantees must provide for wide citizen participation in conducting their planning, implementation and completion of CDBG-funded programs.

Instructions. Applicants must submit a local citizen participation plan which encourages and provides for participation by citizens (and in particular by low and moderate income persons) during the development of the application, and if funded, during the implementation and evaluation of the program.

1. The community's plan must incorporate:
 - a. how its citizens, or organized groups like community or neighborhood based organizations, human and social service groups, downtown businesses, merchants and other potential interested parties, participated in the identification of needs and the development of the proposed activities was accomplished, particularly for low and moderate income persons;
 - b. how the applicant will provide technical assistance to groups who represent low and moderate-income persons throughout the grant term;
 - c. how review of program performance will be accomplished during the grant year;
 - d. the procedures and hierarchy for resolving complaints and grievances;
 - e. the mechanism through which the needs of handicapped and non-English speaking residents will be accommodated during the citizen participation process.
2. As part of a community's citizen participation process, the applicant is required to hold at least one formal public hearing before submitting an application for CDBG funds.
3. If funded, the community must also hold at least one public hearing during the grant cycle to obtain citizen comments on the outcome and effectiveness of CDBG programs and ways they could be improved upon in the future.
4. If during the grant cycle the municipality decides to amend its grant contract in order to substantially alter the design of a funded activity, delete an activity or add a new one, it must hold a public hearing before petitioning DHCD for a contract amendment.

18. PROGRAM INCOME CERTIFICATION: INSTRUCTIONS (Page 1 of 2)

This form reports availability of program income resulting from previous CDBG programs in the community (it includes program income retained by an administering agency or subgrantee).

The form must be certified by both the City/Town Treasurer and the CDBG Program Director from the community. If there is no designated director at the time of application, the Chief Elected Official of the City/Town must sign this certification.

1. The activities which generate program income may include, but are not limited to, the following: (a) proceeds from the sale of real and personal property, in conformity with the Anti-Speculation Plan; (b) principal and interest payments made on a CDBG-funded loan; (c) interest earned from prior lump sum drawdowns, escrow accounts, or revolving loan accounts.
2. There are regulatory requirements that previously funded CDBG grantees must follow when classifying program income. These requirements are dependent upon the fiscal year that generated the program income and if there was a gap in receipt of CDBG funds. Follow these guidelines when determining the program income.
 - a. Program income earned from CDBG grants starting with federal FY 1993 always maintains its CDBG identity and must be spent according to all CDBG rules and regulations. The only exception is where less than \$25,000 in program income is earned during a year.
 - b. Program income earned for fiscal years prior to FY 1993 and the grant has been officially closed-out, and where there is a break in program funding, is not subject to CDBG regulations and therefore, not reported in this certification. For example, a grantee has officially closed its FY 1990 program on 5/15/93. There was no award made in FY 1991. Program income received after 5/15/93 from FY 1990 sources (e.g., loan repayments) is not subject to the regulations.
3. For those grantees that may have existing CDBG grant(s) at the time of application, please *do not include information on the Designated Depository Account*. This account is used solely for the initial receipt and disbursement of funds drawn from the state.
4. Please attach the most recent copies of all bank statements relative to the program income accounts.

PROGRAM INCOME CERTIFICATION: INSTRUCTIONS

(Page 2 of 2)

5. The left column represents the Source(s) of Program Income and the right column represents the Use(s) of Program Income.

6. Under Source(s) there are 4 columns:

- a. Program Year and Activity - Indicate the program year and the activity, which generated the program income (e.g., FY 93 - Housing Rehabilitation or FY 94 - Commercial Improvement).
- b. Bank Statement should be for the month preceding the application.
- c. Account Name and Number - List all the bank account names and corresponding number relative to the source of program income. This should include program income retained by a sub-grantee or administering agency.

DO NOT INCLUDE THE CDBG DESIGNATED DEPOSITORY ACCOUNT nor program income generated from other HUD-administered programs such as UDAG Grants.

- d. Amount - Indicate the balance on the account as of the submitted bank statement.

7. Under the Applied Activity, there are also 4 columns:

- a. Program Year and Activity Commitments - List all the activities and corresponding FY which will use program income (e.g., FY 97- Housing Rehabilitation).
- b. Amount Committed - Indicate the total amount committed for each activity. Please note that commitment here refers to signed contracts.
- c. Balance Uncommitted - Indicate the amount remaining to be committed for each fiscal year, per activity.
- d. Date of Projected Expenditure - Indicate the anticipated date of expenditure, by activity.

FY 2004 MASSACHUSETTS CDBG PROGRAM Program Income Certification Form							
SOURCE				APPLIED ACTIVITY			
Program Year and Activity	Bank Statement Date	Account Name and Number	AMOUNT	Program Year Activity Commitments	Amount Committed	Balance Uncommitted	Date of Projected Expenditure
		TOTAL		TOTAL			
<p>This is to certify that the above noted accounts and amounts accurately reflect the total CDBG Program Income of the Town/City of _____ through the period ending _____ (date)</p> <p>_____ City/Town Treasurer</p>				<p>This is to certify that the above noted accounts and amounts accurately reflect the total CDBG Program Income of the Town/City of _____ through the period ending _____ (date)</p> <p>_____ CDBG Program Administrator or Chief Elected Official</p>			

19. PROGRAM INCOME PLAN

Any community that expects to realize some program income as a result of their Mass. CDBG program (through loan repayments, recapture, and the like) must indicate in this section how they propose to use their program income.

The proposed Program Income plan should follow these guidelines:

1. All communities must estimate how much program income they expect to receive, from what sources, and over what time periods.
2. If the Program Income Plan will continue the originally funded CDBG activity that is proposed in this FY 2004 application, the applicant should so state. (If the proposed FY 2004 program involves multiple activities, the plan should outline the allocation of program income among these activities.)
3. Applicants who wish to propose an alternate, CDBG-eligible activity from program income should describe this intended re-use.

20. CHIEF ELECTED OFFICIAL (CEO) CERTIFICATION FORM

FY 2004 MASSACHUSETTS CDBG PROGRAM

CHIEF ELECTED OFFICIAL (CEO) CERTIFICATION FORM (page 1 of 3)

On behalf of the applicant, of which I am a duly authorized local official empowered to sign such documents, I certify that the following actions have or will be taken:

1. The applicant possesses the legal authority to make a grant submission.
2. The applicant will minimize displacement resulting from CDBG-funded projects whenever possible, and comply with relocation requirements governing the CDBG program.
3. The project will be conducted in accordance with Title VI and Title VIII of the Civil Rights Act and, further, the applicant will affirmatively further fair housing consistent with 24 CFR 570.487(b).
4. The applicant has provided opportunities for citizen participation, has conducted a public hearing, and has provided information to citizens regarding the project that is to be submitted for CDBG funding consistent with Section 104(a) (2) of Title I of the Housing and Community Development Act of 1974, as amended.
5. The applicant will not attempt to recover any capital costs of public improvements assisted in whole or in part with CDBG funds by assessing properties owned and occupied by low and moderate persons unless: (A) CDBG funds are used to pay the portion of such assessment that relates to non-CDBG funding or; (B) the applicant certifies to the State that, for the purposes of assessing properties owned and occupied by low and moderate income persons who are not very low income, the applicant does not have sufficient CDBG funds to comply with the provisions of "A" above.
6. In applying for this grant from the Massachusetts Community Development Block Grant Program, the applicant understands that its Chief Elected Official is ultimately responsible for compliance with all requirements of the Program, including providing sufficient management oversight to carry out the activities requested hereunder.

Certification Regarding the Use of Force

The Community further certifies that:

1. The applicant wills adopt/has adopted and will enforce a policy to prohibit the use of excessive force by law enforcement agencies within their jurisdiction against any individuals engaged in nonviolent civil rights demonstrations.

CHIEF ELECTED OFFICIAL (CEO) CERTIFICATION FORM (page 2 of 3)

2. The policy to be adopted or has been adopted is contained in:
 - a. a local legislative act (such as an ordinance); or
 - b. a local administrative act (such as a written statement of policy by the local chief executive); or
 - c. an executive order; or
 - d. a regulation within the police department.
3. The community understands that a new policy need not be adopted if they have and are enforcing a written policy that meets the requirements of Section 519 of the Housing and Community Development act of 1974, as amended.

Certification Regarding Lobbying

The Community further certifies that:

1. No federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, or renewal, amendment or modification of any federal contract, grant, loan or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an employee or officer of congress, or an employee of a member of congress in connection with this shall complete and submit standard form - III, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers, (including subcontracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

CHIEF ELECTED OFFICIAL (CEO) CERTIFICATION FORM (page 3 of 3)

**Certification Regarding Disclosure Requirements for Activities
Receiving \$200,000 or More**

The undersigned shall comply with the requirements of full disclosure for any project or activity proposed for and receiving funding equal to \$200,000 or more. Disclosure will include providing information regarding:

- assistance from other government sources in connection with the project;
- financial interests of persons involved in the project (from planning to development to implementation of the project or activity), such financial interests exceeding \$50,000 or 10% of the project assistance requested, whichever is lower; and
- sources and uses of other funds involved in the project.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, US Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By: _____
Signature, Chief Elected Official
(Lead Applicant Only)

Typed Name

Title

Date

21. ANTI-SPECULATION AND RECAPTURE PLAN (NARRATIVE)

Applicants must provide a plan that describes how they will discourage real estate speculation when using federal funds to rehabilitate private property (**both housing and commercial properties**).

Instructions. A recapture and anti-speculation plan outlines the community's policy and measures it will take to discourage real estate speculation (such as loan or grant repayment requirements within a specified period after completion of a CDBG-assisted project). Communities are free to design a policy and an implementation plan that is appropriate for local conditions. For housing rehabilitation of rental units, the following general rules must be adhered to in the plan submitted with the application:

1. If the community will administer a housing rehabilitation program that includes any rental units including those in owner-occupied buildings, the plan must include a proposed plan to maintain the affordability of the unit. DHCD requires grantees to have all rental property-owners receiving CDBG assistance sign an agreement that limits rents and rent increases (according to the Section 8 Existing Housing Program's Annual Adjustment Factor) for **a minimum of fifteen (15) years following the completion of rehabilitation**.
2. For single unit housing rehab DHCD requires a fifteen (15) year minimum Deferred Payment Lien to insure unit affordability over this time period.
3. The plan must describe provisions for recapture of program funds in case of violations of rental agreements (or other program requirements) by property-owners.
4. The plan must describe how the community will monitor for compliance with rental agreements, loan agreements, etc., including designation of responsible staff persons, and corrective action to be taken in case of non-compliance with the provisions of the plan. For example, rental agreements must be reviewed and records maintained during and after the life of the agreement by the community. Instances in which forgiveness will be exercised (serious illness, etc.) should also be specified.
5. The plan must include the town's policy for subordination and refinancing of loans.

22. APPENDICES

If an appendix is submitted with your application, please adhere to these requirements:

- Include only documents that are designed to corroborate a claim made in one of the narratives.
- Label every appendix document.

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